

**ORDER**

**Submitted By:** William Cravens (On behalf of the arbitration panel)

**Submitted Date:** 01/15/2025 08:40:57 PM ET

**Case ID & Parties:**

***FINRA Dispute Resolution Services***

ORDER

**Case Number:** 23-00655

**In the Matter of the Arbitration Between****Claimant(s)****VS****Respondent(s)**

Phillip Ainsworth

Spartan Capital Securities, LLC

Alexander Catto

Fred Weidner

Brian Campbell

Marion Rus

Steve Butz

Steven Krasne

Dwight Casey

Dennis Francy

David Falk

Guy Wood

**PREHEARING CONFERENCE**

1. Was a prehearing conference held in the above captioned matter?

☐ Yes

☒ **No**

**ISSUES ADDRESSED**

2. Issues addressed: (i.e., name of motion or request, by which party)

☒ **The following pleadings have been addressed:**

***Respondent's Motion to Compel Discovery***

**ORDER DECIDED BY**

3. Decided by:

☒ **Chairperson**

☐ Panel

**RULINGS**

4. Rulings:

- **After considering the pleadings submitted by the parties (and oral arguments, if prehearing conference held), the Panel/Chairperson rules as follows:**

***Claimants are directed to produce the following no later than 2/7/2025:***

***1. Individual written responses to each Item of List 2 of the FINRA Discovery Guide:***

***2. Individual written responses to each Request in Spartan's respective, First Requests for Document and Information;***

***3. All materials in the possession, custody, or control of Claimants responsive to all Items of the Discovery Guide and all Requests in the Requests.***

***If Claimants fail to comply with this Order in full by 2/7/2025, the Chair reserves the right to sanction each Claimant individually an amount not to exceed \$100.00 per day until compliance with this Order is achieved. Claimants are herewith placed on notice that continued noncompliance with their discovery obligations or Orders of the Chairperson or Panel may result in the imposition of additional sanctions, including dismissal of the claims and/or Arbitration***

5. Order compliance date:

- **The parties should comply with this order by 02/07/2025**
- Not applicable

**ASSESSMENT OF FEES**

6. Cost of prehearing conference:

- **If the parties settle this matter with no further hearings, the forum fees for this prehearing conference (or discovery-related motion decided without a prehearing conference) are assessed as follows:**

**100% to Claimant(s), jointly and severally**

\_\_\_\_\_ % to Respondent(s), jointly and severally

\_\_\_\_\_ % assessed to \_\_\_\_\_

\_\_\_\_\_ % assessed to \_\_\_\_\_

\_\_\_\_\_ % assessed to \_\_\_\_\_

\_\_\_\_\_ % assessed to \_\_\_\_\_

- Not applicable

**ATTACHMENTS**

There are no attached documents.